



Search Report

EIC 3600

STIC Database Tracking Number: 365630

To: Bijendra Shrestha
Location: Hoteling
Art Unit: 3691
Date: 02/11/2011
Case Serial Number: 10/697851

From: Eileen Patton
Location: EIC3600
KNX 2D08A
Phone: (571) 272-3413
eileen.patton@uspto.gov

Search Notes

Dear Examiner Shrestha:

Please find attached the results of your search for the above-referenced case. The search was conducted in Dialog, ProQuest and EBSCOhost. A full template search for 705/38 was completed.

If you have any questions about the search, or need a refocus, please do not hesitate to contact me.

Thank you for using the EIC, and we look forward to your next search!

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**EIC-Searcher identified “potential references of interest” are selected based upon their apparent relevance to the terms/concepts provided in the examiner’s search request.*

I. Inventor Search Results from Dialog

27/3,K/1 (Item 1 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0014233845 *Drawing available*

WPI Acc no: 2004-419794/200439

XRPX Acc No: N2004-333217

Processor for electronic trading of financial instrument, parses messages from market participants that bid/offer for sale of financial instrument and displays parsed data to receive bid/offer better than bid/offer prevailing in markets

Patent Assignee: BOSTON OPTIONS EXCHANGE GROUP LLC (BOST-N)

Inventor: BERTRAND L; BERTRAND L B O E G L; LEIBLER K; LEIBLER K B O E G L; PETERFFY T; PETERFFY T B O E G L

Patent Family (6 patents, 104 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
WO 2004042514	A2	20040521	WO 2003US34475	A	20031030	200439	B
AU 2003291661	A1	20040607	AU 2003291661	A	20031030	200469	E
US 20040254804	A1	20041216	US 2002422408	P	20021030	200482	E
			US 2003697851	A	20031030		
EP 1586047	A2	20051019	EP 2003768550	A	20031030	200568	E
			WO 2003US34475	A	20031030		
JP 2006505070	W	20060209	WO 2003US34475	A	20031030	200612	E
			JP 2004550250	A	20031030		
AU 2003291661	A8	20051117	AU 2003291661	A	20031030	200638	E

Priority Applications (no., kind, date): US 2002422408 P 20021030; US 2003697851 A 20031030

25/3K/1 (Item 1 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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01962548

COMPUTERIZED METHOD AND SYSTEM FOR SCALE TRADING

PROCEDE ET SYSTEME INFORMATISES POUR LES ECHANGES A ECHELLE

Patent Applicant/Patent Assignee:

- **INTERACTIVE BROKERS LLC**

One Pickwick Plaza, Greenwich, CT 06830; US; US (Residence); US (Nationality); (For all designated states except: US)

Patent Applicant/Inventor:

- **PETERFFY Thomas Pechy**
25 Conyers Farm Drive, Greenwich, CT 06831; US; US (Residence); US (Nationality); (Designated only for: US)
- **PETERFFY Thomas Pechy...**

Legal Representative:

- **DIBERNARDO Ian et al (agent)**
Stroock & Stroock & Lavan LLP, 180 Maiden Lane, New York, NY 10038; US

	Country	Number	Kind	Date
Patent	WO	201045353	A2	20100422
Application	WO	2009US60671		20091014
Priorities	US	2008251316		20081014

25/3K/2 (Item 2 from file: 349)
 DIALOG(R)File 349: PCT FULLTEXT
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 01120472

PRICE IMPROVEMENT PROCESSOR FOR ELECTRONIC TRADING OF FINANCIAL INSTRUMENTS

PROCESSEUR D'AMELIORATION DE PRIX POUR LE COMMERCE ELECTRONIQUE D'INSTRUMENTS FINANCIERS

Patent Applicant/Patent Assignee:

- **BOSTON OPTIONS EXCHANGE GROUP LLC**
100 Franklin Street, Boston, MA 02110; US; US(Residence); US(Nationality)

Inventor(s):

- **PETERFFY Thomas**
Boston Option Exchange Group, LLC, 100 Franklin Street, Boston, MA 02110; US
- **LEIBLER Ken**
Boston Options Exchange Group, LLC, 100 Franklin Street, Boston, MA 02110; US
- **BERTRAND Luc**
Boston Options Exchange Group, LLC, 100 Franklin Street, Boston, MA 02110; US
- **PETERFFY Thomas... ...LEIBLER Ken... ...BERTRAND Luc**

Legal Representative:

- **CHOW Stephen Y(et al)(agent)**
Perkins, Smith & Cohen, LLP, One Beacon Street, Boston, MA 02108; US

	Country	Number	Kind	Date
Patent	WO	200442514	A2-A3	20040521
Application	WO	2003US34475		20031030
Priorities	US	2002422408		20021030

II. Text Search Results from Dialog

A. Patent Files, Abstract

File 347:JAP10 Dec 1976-2009/May(Updated 090903)

(c) 2009 JPO & JAP10

File 350:Derwent WPIX 1963-2009/UD=200956

(c) 2009 Thomson Reuters

Set	Items	Description
S1	5765	(PRICE OR PRICES OR PRICING) (3N) (IMPROVE? ? OR IMPROVEMENT? ? OR IMPROVING OR ADJUST? ? OR CHANGE? ? OR CHANGING OR MODIF? OR MANIPULAT? OR INCREAS? OR DECREAS? OR TRANSITION? OR VARIATION? ?)
S2	98	(PERIOD? ? OR DURATION? ? OR INTERVAL? ? OR TIMESLOT? ? OR TIME() (SLOT? ? OR SPAN OR TABLE) OR TIMETABLE? ? OR TIMING OR TIMER) (3N)S1
S3	36077	(SECOND? ? OR SUPPLEMENT? ? OR SUBSEQUENT? ? OR EXTRA OR FOLLOWUP OR FOLLOW() (UP OR SEQUEL) (4N) (AUCTION? ? OR SALE OR SALES OR MARKET? ? OR SELLING OR EXCHANGE? ? OR TRANSACTION? ?)
S4	384	(PERIOD? ? OR DURATION? ? OR INTERVAL? ? OR WINDOW? ? OR TIMESLOT? ? OR TIME() (SLOT? ? OR SPAN OR TABLE) OR TIMETABLE? ? OR TIMING OR TIMER OR HOW() (LONG) (4N)S3
S5	2950	(PARTICIPANT? ? OR (MARKET OR PRICE OR BOOK) () (MAKER? ? OR SPECIALIST? ? OR SETTER? ?) OR AUCTIONEER? ? OR BOOKMAKER? ? - OR AGENT? ? OR BIDDER? ?) (5N) (BID OR BIDS OR BIDDING OR OFFER? ?)
S6	108	(THRESHOLD? ? OR THRESHOLD? ? OR CAP OR CAPS OR CEILING OR BENCHMARK? ? OR TRIGGER? ? OR REFERENCE()VALUE? ? OR BOUNDAR? OR BOUND? ? OR LIMITATION? ? OR CONSTRAINT? ? OR MAXIMUM? ? - OR MINIMUM? ? OR BASELINE? ?) (5N)S1
S7	16973	(BEST OR HIGHEST OR GREATEST OR TOP OR HIGH OR OPTIMAL OR - OPTIMUM OR TOPMOST) (3N) (BID OR BIDS OR BIDDING OR BIDDER? ? OR OFFER?)
S8	378	(OVER OR HIGHER OR GREATER OR SURPASS? ? OR EXCEED? ? OR MORE - OR LARGER OR BIGGER OR IN() (EXCESS) (4N)S7
S9	4034	(LESS OR LESSER OR LOWER OR SHORTER OR ("NOT" OR DOESN()T - OR NO) () (EXCEED? ? OR GREATER? ? OR MORE OR HIGHER OR LONGER OR SURPASS? ? OR OVER) (4W) (MINUTE OR (60 OR SIXTY) ()SECOND? ?)
S10	0	S2 AND S4
S11	5	S2 AND S3
S12	4	S2 AND S5
S13	4	S2 AND S6
S14	1	S2 AND S8
S15	3	S2 AND S7
S16	1	S2 AND S9
S17	0	S4 AND S9
S18	13	S11 OR S12 OR S13 OR S14 OR S15 OR S16
S19	6836	(SECURITIES OR STOCKS OR (FINANCIAL OR TRADEABLE OR TRADEABLE) () (INSTRUMENT? ? OR VEHICLE? ? OR OBJECT? ? OR PRODUCT? ?) OR FUTURES OR MUTUAL()FUND? ? OR DERIVATIVE? ? OR COMMODITIES OR OPTIONS OR BONDS) (3N) (EXCHANG? ? OR MARKET? ? OR MARKETPLACE? ? OR AUCTION? ? OR TRADING OR SELLING OR SELL OR SALE OR PURCHASE? ? OR SALES OR BUYING)
S20	12	S19 AND S2
S21	2	S20 AND S3
S22	1	S20 AND S6
S23	2	S20 AND S5
S24	0	S19 AND S3 AND S6
S25	0	(S21 OR S22 OR S23) NOT S18
S26	34	AU=((PETERFFY, T? OR PETERFFY T? OR PETERFFY (2N)T?) OR (LE-

18/3,K/7 (Item 6 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0014233845 *Drawing available*

WPI Acc no: 2004-419794/200439

XRPX Acc No: N2004-333217

Processor for electronic trading of financial instrument, parses messages from market participants that bid/offer for sale of financial instrument and displays parsed data to receive bid/offer better than bid/offer prevailing in markets

Patent Assignee: BOSTON OPTIONS EXCHANGE GROUP LLC (BOST-N)

Inventor: BERTRAND L; BERTRAND L B O E G L; LEIBLER K; LEIBLER K B O E G L; PETERFFY T; PETERFFY T B O E G L

Patent Family (6 patents, 104 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
WO 2004042514	A2	20040521	WO 2003US34475	A	20031030	200439	B
AU 2003291661	A1	20040607	AU 2003291661	A	20031030	200469	E
US 20040254804	A1	20041216	US 2002422408	P	20021030	200482	E
			US 2003697851	A	20031030		
EP 1586047	A2	20051019	EP 2003768550	A	20031030	200568	E
			WO 2003US34475	A	20031030		
JP 2006505070	W	20060209	WO 2003US34475	A	20031030	200612	E
			JP 2004550250	A	20031030		
AU 2003291661	A8	20051117	AU 2003291661	A	20031030	200638	E

Priority Applications (no., kind, date): US 2002422408 P 20021030; US 2003697851 A 20031030

claim:1. A processor for electronic trading of financial instruments comprising:(a) a receiver for information messages from market participants that bid for purchase or offer for sale of a financial instrument, said receiver time-stamping received information messages;(b) an electronic order book;(c) an updater communicating with said receiver and said electronic order book for qualifying and parsing price, size... ... message;(d) a transmitter communicating with said electronic order book for display to market participants anonymous data entered on said electronic order book;(e) a price improvement period timer communicating with said updater (i) initiated upon receipt by said receiver of an information message from a qualified market participant containing a bid or offer at or better than a preset price improvement over the best bid or offer prevailing across multiple markets for a particular instrument and (ii) terminated upon an elapsing of a preset price improvement period time less than a minute and commensurate with market risk; and(f) a transaction executor communicating with said price improvement period timer and said electronic order book for allocating and executing upon said termination matches of bids or offers for said particular instrument, data for which are entered on said electronic order book, against market offers or bids in said order, subject to a partial time priority for said qualified market participant, and updating said electronic order book accordingly.

18/3,K/8 (Item 7 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0013228858 *Drawing available*

WPI Acc no: 2003-313722/200330

Online Internet hybrid auctions for buying and selling goods/services, includes decreasing current asking price at a regular predetermined time interval and posting on display of remote network computer until a first bid is received

Patent Assignee: ORACLE CORP (ORAC)

Inventor: JOHNSON R C

Patent Family (3 patents, 89 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
WO 2003027806	A2	20030403	WO 2002US30562	A	20020925	200330	I
AU 2002334681	A1	20030407	AU 2002334681	A	20020925	200461	E
CN 1802662	A	20060712	CN 2002818818	A	20020925	200681	E
			WO 2002US30562	A	20020925		

Priority Applications (no., kind, date): US 2001965098 A 20010926

Alerting Abstract ...one remote computing device coupled to a network; periodically decreasing at a regular predetermined time interval and posting the current asking price until a first **bid** is received from a first **bidder** at the then current asking price, and awarding the item to the first bidder at the then current asking price unless, after the first **bid** is received, at least one additional **bidder bids** higher than the first **bid** within a predetermined time interval after the first **bid** is received. When the additional **bidder bids** higher than the first **bid**, the method also includes the steps of: accepting increasingly higher successive bids from at least one of the first bidders and at least one additional... Original Publication Data by Authority Argentina **Publication No. Original Abstracts:** A two phase auction for an item includes a first phase in which an asking **price** for the item **decreases at** predetermined **intervals** when the auction is a seller's auction and increases at predetermined intervals when the auction is a buyer's **auction**, and a **second** phase after the first phase wherein the asking price starts at a level equal to a first **bid** placed by a first **bidder** during the first phase and periodically increases when the auction is a seller's auction and decreases at predetermined intervals when the auction is a buyer's auction until no additional **bids** are received from the first **bidder** and/or additional bidders, the auctioned item being awarded to a last bidder in the second phase...

18/3,K/9 (Item 8 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0012754932 *Drawing available*

WPI Acc no: 2002-608118/200265

XRPX Acc No: N2002-481668

Computerized security trading method involves converting auto correlation distribution of price of security which is computed based on deviation of previous transaction prices from average price, to normal distribution

Patent Assignee: BROWN B M (BROW-I); RUSSELL J (RUSS-I); SELDEN J W (SELD-I)

Inventor: BROWN B M; RUSSELL J; SELDEN J W

Patent Family (2 patents, 1 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type

US 20020095364	A1	20020718	US 2000729012	A	20001201	200265	B
US 7020630	B2	20060328	US 2000729012	A	20001201	200623	E

Priority Applications (no., kind, date): US 2000729012 A 20001201

..**Original Abstracts:** The central station includes several computation sequences that can be used to compute the autocorrelation distribution function of any one security price to predict the **probable price variation** increment within a **contract consummation interval**, the cross correlation between various securities to determine any pattern of offsetting trades, and a reconciliation sequence to effect the securities transactions within the price.... .

..**Claims:** current average price of said security corresponding to an average of a predetermined number of preceding transaction prices thereof; determining the delay between said preceding **transactions** and a **second** instance of the most recent delayed transaction price of said security together with a delayed average price of said security, said delayed average price of said security corresponding to an **average of a predetermined** number of delayed **transaction** prices thereof; subtracting said most recent transaction price from said current average price to provide a current price difference and said delayed transaction price from...

18/3,K/10 (Item 9 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0012255968 *Drawing available*

WPI Acc no: 2002-196037/200225

Related WPI Acc No: 2001-625504

XRPX Acc No: N2002-148892

Enhanced online sales risk management system e.g. for e-commerce, where exchange price and a tolerance parameter can be determined for a foreign currency as the foreign currency relates to a base currency

Patent Assignee: GOLDMAN SACHS & CO (GOLD-N)

Inventor: ANAGNOSTOPOULOS E K; GODFREY J; GODFREY J C; GREENER S; GUNEWARDENA M; HIGGINS M; ROTHMAN D; ROTHMAN D J; YOUNG P

Patent Family (5 patents, 95 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
WO 2002011018	A1	20020207	WO 2001US21812	A	20010711	200225	B
AU 200180510	A	20020213	AU 200180510	A	20010711	200238	E
EP 1312017	A1	20030521	EP 2001958903	A	20010711	200334	E
			WO 2001US21812	A	20010711		
JP 2004510223	W	20040402	WO 2001US21812	A	20010711	200424	E
			JP 2002515665	A	20010711		
US 6829590	B1	20041207	US 2000179373	P	20000131	200480	E
			US 2000526606	A	20000316		
			US 2000218184	P	20000714		
			US 2000702956	A	20001031		

Priority Applications (no., kind, date): US 2000179373 P 20000131; US 2000526606 A 20000316; US 2000218184 P 20000714; US 2000702956 A 20001031

..**Original Abstracts:** amount and the foreign currency amount, wherein the foreign currency amount is derived according to the exchange price. If desired, a first tolerance parameter and a second tolerance parameter can be utilized, wherein a rise in the spot price is compared to the first tolerance parameter and a fall in the spot.... .

...**Claims:** upon the projected amount of sales during a predetermined period of time; receive into the host computer storage digital data descriptive of a market spot price; modify the currency exchange price stored in the host computer storage digital data if the market spot price is not within the band of currency price; receive into the host...

18/3,K/11 (Item 10 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0011098217 *Drawing available*

WPI Acc no: 2002-033962/200204

XRXPX Acc No: N2002-026166

Concurrent dynamic pricing, marketing and sales system for on-line auction, has inventory sales tool accessible to customers to permit customers to request immediate and deferred purchase at respective prices

Patent Assignee: FIORE F (FIOR-I); KAMINSKY J (KAMI-I)

Inventor: FIORE F; KAMINSKY J

Patent Family (1 patents, 1 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
US 20010047308	A1	20011129	US 2000193739	P	20000331	200204	B
			US 2001816918	A	20010323		

Priority Applications (no., kind, date): US 2000193739 P 20000331; US 2001816918 A 20010323

..**Original Abstracts:** flexible current price, an open order mechanism, a facility for a demand price and a buyer auction scheme. Sellers interact with the system to set **minimum** prices and permitted **increments of changes** in price when prices vary. **Buyers** can choose to acquire a certain amount of a product at the current price, or set an amount they are willing to pay after a particular period of time. Sellers can adjust prices based on **buyer responses** and arrive at an optimal pricing strategy over a given period of time to meet their requirements for inventory liquidation. The system can be used...

18/3,K/12 (Item 11 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0010899694 *Drawing available*

WPI Acc no: 2001-520429/200157

XRXPX Acc No: N2001-385386

Data processing system for resource management in stock markets, initiates selling and purchasing processes based on the invested and uninvested accounts relative to price variation within set time

Patent Assignee: BALL O E (BALL-I)

Inventor: BALL O E

Patent Family (2 patents, 2 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
US 6278983	B1	20010821	US 1999227865	A	19990111	200157	B
CA 2343533	A1	20021009	CA 2343533	A	20010409	200307	NCE

Priority Applications (no., kind, date): US 1999227865 A 19990111; CA 2343533 A 20010409

.**Claims:** additional units of ownership in the first invested account, using capital from the uninvested account, the buy-trigger means conforming to criteria comprising:(a) wherein a **change** in the **price** of the first invested account is a **drop in price over a period of time**; and(b) wherein the drop in price of the first invested account over the period of time is greater than one-half of an **average change in price over time**; and(D) **sell-trigger** means, responsive to a **sell-indicating price movement** in the value of the units of ownership in the first invested account, for triggering the sale of units of ownership in the first invested account, and for transferring the capital to the uninvested account, the **sell-trigger** means conforming to criteria comprising:(a) wherein a **change** in the **price** of the first invested account is an **increase in price over a period of time**; (b) wherein the **increase in price** of the **first invested account** over the **the period of time** is greater than one-half of an **average change in price over time**.

B. Patent Files, Full-Text

File 348:EUROPEAN PATENTS 1978-200936

(c) 2009 European Patent Office

File 349:PCT FULLTEXT 1979-2009/UE=20090827|UT=20090709

(c) 2009 WIPO/Thomson

Set	Items	Description
S1	11169	(PRICE OR PRICES OR PRICING) (3N) (IMPROVE? ? OR IMPROVEMENT? ? OR IMPROVING OR ADJUST? ? OR CHANGE? ? OR CHANGING OR MODIF? OR MANIPULAT? ? OR INCREAS? ? OR DECREAS? ? OR TRANSITION? ? OR VARIATION? ?)
S2	332	(PERIOD? ? OR DURATION? ? OR INTERVAL? ? OR TIMESLOT? ? OR TIME() (SLOT? ? OR SPAN OR TABLE) OR TIMETABLE? ? OR TIMING OR TIMER) (4N)S1
S3	39103	(SECOND? ? OR SUPPLEMENT? ? OR SUBSEQUENT? ? OR EXTRA OR FOLLOWUP OR FOLLOW() (UP OR SEQUEL) (4N) (AUCTION? ? OR SALE OR SALES OR MARKET? ? OR SELLING OR EXCHANGE? ? OR TRANSACTION? ?)
S4	556	(PERIOD? ? OR DURATION? ? OR INTERVAL? ? OR WINDOW? ? OR TIMESLOT? ? OR TIME() (SLOT? ? OR SPAN OR TABLE) OR TIMETABLE? ? OR TIMING OR TIMER OR HOW() (LONG OR PENDENCY) (4N)S3
S5	5501	(PARTICIPANT? ? OR (MARKET OR PRICE OR BOOK) () (MAKER? ? OR SPECIALIST? ? OR SETTER? ?) OR AUCTIONEER? ? OR BOOKMAKER? ? - OR AGENT? ? OR BIDDER? ?) (5N) (BID OR BIDS OR BIDDING OR OFFER-?)
S6	372	(THRESHOLD? ? OR THRESHOLD? ? OR CAP OR CAPS OR CEILING OR BENCHMARK? ? OR TRIGGER? ? OR REFERENCE() (VALUE? ? OR BOUNDAR? OR BOUND? ? OR LIMITATION? ? OR CONSTRAINT? ? OR MAXIMUM? ? - OR MINIMUM? ? OR BASELINE? ?) (5N)S1
S7	7193	(SECURITIES OR STOCKS OR (FINANCIAL OR TRADEABLE OR TRADEABLE) () (INSTRUMENT? ? OR VEHICLE? ? OR OBJECT? ? OR PRODUCT? ?) OR FUTURES OR MUTUAL() (FUND? ? OR DERIVATIVE? ? OR COMMODITIES OR OPTIONS OR BONDS) (3N) (EXCHANG? ? OR MARKET? ? OR MARKETPLACE? ? OR AUCTION? ? OR TRADING OR SELLING OR SELL OR SALE OR PURCHAS? ? OR SALES OR BUYING)
S8	4	S2 (20N) S4
S9	9	S2 (20N) S3
S10	9	S2 (30N) S5
S11	1	(S8 OR S9 OR S10) (30N) S7
S12	2	(S8 OR S9 OR S10) (30N) S6

S13 100 S1 (20N) S3
 S14 16 S13 (20N) (S2 OR S4)
 S15 2 S14 (30N) S6
 S16 1 S14 (30N) S7
 S17 3 S13 (20N) S6
 S18 21 S13 (20N) S7
 S19 0 S18 (30N) S6
 S20 0 S18 (20N) S5
 S21 4 S11 OR S12 OR S15 OR S16 OR S17
 S22 3 S8 NOT S21
 S23 3 S9 NOT (S21 OR S22)
 S24 187 AU=((PETERFFY, T? OR PETERFFY(2N)T?) OR (LEIBLER, K? OR LEIBLER K? OR LEIBLER(2N)K?) OR (BERTRAND, L? OR BERTRAND L? OR BERTRAND(2N)L?))
 S25 2 S24 AND S2

21/3K/2 (Item 2 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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01120472

PRICE IMPROVEMENT PROCESSOR FOR ELECTRONIC TRADING OF FINANCIAL INSTRUMENTS

PROCESSEUR D'AMELIORATION DE PRIX POUR LE COMMERCE ELECTRONIQUE D'INSTRUMENTS FINANCIERS

Patent Applicant/Patent Assignee:

- BOSTON OPTIONS EXCHANGE GROUP LLC
100 Franklin Street, Boston, MA 02110; US; US(Residence); US(Nationality)

Inventor(s):

- PETERFFY Thomas
Boston Option Exchange Group, LLC, 100 Franklin Street, Boston, MA 02110; US
- LEIBLER Ken
Boston Options Exchange Group, LLC, 100 Franklin Street, Boston, MA 02110; US
- BERTRAND Luc
Boston Options Exchange Group, LLC, 100 Franklin Street, Boston, MA 02110; US

Legal Representative:

- CHOW Stephen Y(et al)(agent)
Perkins, Smith & Cohen, LLP, One Beacon Street, Boston, MA 02108; US

	Country	Number	Kind	Date
Patent	WO	200442514	A2-A3	20040521
Application	WO	2003US34475		20031030
Priorities	US	2002422408		20021030

Detailed Description:

...raising bids and lowering offers).

Summary of the Invention

[00071] The invention disclosed herein to effectuate more rapid matching of bids and offers is a **price improvement** processor that conducts a rapid automated **secondary auction** within an electronic primary auction, in which certain market participants may, during a short **price improvement period** ("PIP"), provide **price improvement** ent in increments that are finer than the prevailing standard **minimum price variation** and are

provided a certain allocation as an incentive for such price improvements. This processor may be employed as a stand-alone system or as...

21/3K/4 (Item 4 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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00738060

INTEGRATED CAPITAL MARKET SYSTEM FOR SMALL ISSUERS, INCLUDING AUCTION
SYSTEME INTEGRE DE MARCHES DES CAPITAUX POUR PETITS EMETTEURS, AVEC ENCHIERES

Patent Applicant/Patent Assignee:

• OFFROAD CAPITAL CORPORATION

50 Fremont Street, 20th Floor, San Francisco, CA 94105-2230; US; US(Residence); US(Nationality);
(For all designated states except: US)

Patent Applicant/Inventor:

• CINELLI Steven A

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• PELLETIER Stephen D

75 Cloud View Road, Sausalito, CA 94965; US; US(Residence); US(Nationality); (Designated only for: US)

• WOODWARD Susan E

1682 Oak Avenue, Menlo Park, CA 94025; US; US(Residence); US(Nationality); (Designated only for: US)

• HALL Robert E

1682 Oak Avenue, Menlo Park, CA 94025; US; US(Residence); US(Nationality); (Designated only for: US)

Legal Representative:

• EQUITZ Alfred A(et al)(agent)

Limbach & Limbach L.L.P., 2001 Ferry Building, San Francisco, CA 94111-4262; US

	Country	Number	Kind	Date
Patent	WO	200051047	A2	20000831
Application	WO	2000US3493		20000210
Priorities	US	99122144		19990226
	US	99275571		19990324
	US	99159621		19991014

Detailed Description:

...maximum prices at any time during the extension period or the speedup period. In an alternative embodiment, only investors whose bids have been bumped can **adjust** their **maximum prices** during those **periods**.

Auction with Sales Bids

When the auction is used to support a **secondary market**, **participants** can enter **sales bids** as well as purchase bids. Sellers can place bids to sell specified numbers of shares at a price at least as high as a minimum...equal to the auction

price

Quiet period Period of predetermined length, such as 12 hours, during which the auction allocation does not change

Re-bid Increase in the **maximum price** of a purchase bid or decrease in the **minimum price** of a sale bid

Secondary auction An auction where any number (limited to the amount of stock outstanding) of sale bids can be made

Speedup Auction extension in which the quiet period is...

23/3K/3 (Item 3 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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00998788

HYBRID AUCTIONS AND METHODS AND SYSTEMS FOR CONDUCTING SAME OVER A COMPUTER NETWORK

VENTES AUX ENCHERES HYBRIDES, PROCEDES ET SYSTEMES PERMETTANT DE REALISER CES VENTES SUR UN RESEAU INFORMATIQUE

Patent Applicant/Patent Assignee:

- **ORACLE CORPORATION**
500 Oracle Parkway, Redwood Shores, CA 94065; US; US(Residence); US(Nationality)

Inventor(s):

- **JOHNSON Richard C**
7542 Shadowhill Lane, Cupertino, CA 95014; US

Legal Representative:

- **YOUNG Alan W (agent)**
Young Law Firm, P.C., Suite 106, 4370 Alpine Road, Portola Valley, CA 94028; US

	Country	Number	Kind	Date
Patent	WO	200327806	A2-A3	20030403
Application	WO	2002US30562		20020925
Priorities	US	2001965098		20010926

English Abstract:

A two phase auction for an item includes a first phase in which an asking **price** for the item **decreases** at predetermined **intervals** when the auction is a seller's auction and increases at predetermined intervals when the auction is a buyer's **auction** , and a second phase after the first phase wherein the asking price starts at a level equal to a first bid placed by a first bidder during the...

Claims:

...of a
contract, goods, a service, real estate and a legal right.

8 An auction for an item, comprising:

a first phase wherein an asking **price** for the item **decreases** at predetermined **intervals** when the auction is a seller's auction and increases at predetermined intervals when the auction is a buyer's **auction** , and a second phase after the first phase wherein the asking price starts at a level equal to a first bid placed

III. Text Search Results from Dialog

A. NPL Files, Abstract

File 35:Dissertation Abs Online 1861-2009/Aug
(c) 2009 ProQuest Info&Learning
File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13
(c) 2002 Gale/Cengage
File 65:Inside Conferences 1993-2009/Sep 08
(c) 2009 BLDS all rts. reserv.
File 2:INSPEC 1898-2009/Aug W4
(c) 2009 The IET
File 474:New York Times Abs 1969-2009/Sep 08
(c) 2009 The New York Times
File 475:Wall Street Journal Abs 1973-2009/Sep 08
(c) 2009 The New York Times
File 99:Wilson Appl. Sci & Tech Abs 1983-2009/Aug
(c) 2009 The HW Wilson Co.
File 256:TecTrends 1982-2009/Aug W5
(c) 2009 Info.Sources Inc. All rights res.
File 139:Econlit 1969-2011/Jan
(c) 2011 American Economic Association

Set	Items	Description
S1	77912	(PRICE OR PRICES OR PRICING) (3N) (IMPROVE? ? OR IMPROVEMENT? ? OR IMPROVING OR ADJUST? ? OR CHANGE? ? OR CHANGING OR MODIF? OR MANIPULAT? OR INCREAS? OR DECREAS? OR TRANSITION? OR VARIATION? ?)
S2	11115	(PERIOD? ? OR DURATION? ? OR INTERVAL? ? OR TIMESLOT? ? OR TIME() (SLOT? ? OR SPAN OR TABLE) OR TIMETABLE? ? OR TIMING OR TIMER) (4N)S1
S3	25467	(SECOND? ? OR SUPPLEMENT? OR SUBSEQUENT? OR EXTRA OR FOLLOWUP OR FOLLOW() (UP OR SEQUEL) (4N) (AUCTION? OR SALE OR SALES OR MARKET? ? OR SELLING OR EXCHANGE? ? OR TRANSACTION? ?)
S4	322	(PERIOD? ? OR DURATION? ? OR INTERVAL? ? OR WINDOW? ? OR TIMESLOT? ? OR TIME() (SLOT? ? OR SPAN OR TABLE) OR TIMETABLE? ? OR TIMING OR TIMER OR HOW() (LONG OR PENDENCY) (4N)S3
S5	7218	(PARTICIPANT? ? OR (MARKET OR PRICE OR BOOK) () (MAKER? ? OR SPECIALIST? ? OR SETTER? ?) OR AUCTIONEER? ? OR BOOKMAKER? ? - OR AGENT? ? OR BIDDER? ?) (5N)S1
S6	887	(THRESHOLD? ? OR THRESHOLD? ? OR CAP OR CAPS OR CEILING OR BENCHMARK? ? OR TRIGGER? ? OR REFERENCE()VALUE? ? OR BOUNDAR? OR BOUND? ? OR LIMITATION? ? OR CONSTRAINT? ? OR MAXIMUM? ? - OR MINIMUM? ? OR BASELINE? ?) (5N)S1
S7	149132	(SECURITIES OR STOCKS OR (FINANCIAL OR TRADEABLE OR TRADEABLE) () (INSTRUMENT? ? OR VEHICLE? ? OR OBJECT? ? OR PRODUCT? ?) OR FUTURES OR MUTUAL()FUND? ? OR DERIVATIVE? ? OR COMMODITIES OR OPTIONS OR BONDS) (3N) (EXCHANG? OR MARKET? ? OR MARKETPLACE? ? OR AUCTION? OR TRADING OR SELLING OR SELL OR SALE OR PURCHASE? ? OR SALES OR BUYING)
S8	4	S2 AND S4
S9	27	S2 AND S3
S10	2	S9 AND S5
S11	2	S9 AND S6
S12	6	S9 AND S7

S13	742	S1 AND S3
S14	37	S13 AND (S2 OR S4)
S15	2	S14 AND S5
S16	2	S14 AND S6
S17	6	S14 AND S7
S18	78	S13 AND S7
S19	2	S18 AND S6
S20	2	S18 AND S5
S21	11	(S8 OR S10 OR S11 OR S12 OR S15 OR S16 OR S17 OR S19 OR S2-
	0	NOT PY>2002
S22	11	RD (unique items)
S23	201	AU=((PETERFFY, T? OR PETERFFY T? OR PETERFFY(2N)T?) OR (LEIBLER, K? OR LEIBLER K? OR LEIBLER(2N)K?) OR (BERTRAND, L? OR BERTRAND L? OR BERTRAND(2N)L?))
S24	0	S23 AND S2

22/3,K/1 (Item 1 from file: 35)

DIALOG(R)File 35: Dissertation Abs Online

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01834259 ORDER NO: AADAA-INQ59657

The impact of post-farm-gate value-added activities on western Canadian agriculture

Author: Quagrainic, Kwamena Korako

Degree: Ph.D.

Year: 2000

Corporate Source/Institution: University of Alberta (Canada) (0351)

Source: Volume 6205A of *Dissertations Abstracts International*.

PAGE 1902 . 176 PAGES

ISBN: 0-612-59657-5

...achieve the objectives of the thesis is first, to establish the type of relationships among the commodities considered in the study using a Leontief function. **Second**, the nature of the **market** for these primary **commodities** is assessed using a Translog function. Finally, simulation experiments are conducted to provide insights into the effects of the assumed increased demand for commodities resulting from post-harvest value adding activities. The effects assessed are **changes in prices**, quantities and producer welfare in the form of profits.

The results indicate significant economic interrelationships among wheat, barley, canola, slaughter cattle and slaughter hogs at... ...by processors, there is no evidence of non-competitive behaviour in any of the commodity markets examined.

Results from the simulation exercises indicate that an **increase in the price** of one commodity results in an increase in the production of that commodity and a fairly constant or decline in the production of others. An... ...simulation model is that land is fixed, so that there is competition for the land resource in production. Farmers' welfare is increased significantly with an **increase in the price** of grains/oilseed. Experiments conducted by increasing the quantity of commodities demanded on the domestic market revealed a very small effect on commodity prices. As a result, the increase in farmers' profits is also minimal. Changes in quantity variables did not **trigger changes in price** variables, suggesting that in Canada, commodity prices are exogenously determined, predominantly by situations in the international market.

22/3,K/2 (Item 2 from file: 35)

DIALOG(R)File 35: Dissertation Abs Online

01805919 ORDER NO: AADAA-INQ38326

Microstructure of capital markets with low liquidity: Theory and evidence from the Prague Stock Exchange

Author: Polasek, Vaclav

Degree: Ph.D.

Year: 1999

Corporate Source/Institution: Queen's University at Kingston (Canada) (0283)

Source: Volume 6007A of Dissertations Abstracts International.

PAGE 2613 . 140 PAGES

ISBN: 0-612-38326-1

...means. Estimation of a regime-switching model on a market index is utilized in separating the sample period into low and high states, and the **market** is subsequently analyzed across the two states.

The second chapter explores the effects of **price adjustment** restrictions (**prices** must lie on a discrete grid; **bounds on price changes** in a fixed time **interval**, etc.) in batch trading markets where the final market balance is achieved through proportional allocation of orders on the long side of the market. The.... of the market. It is shown that welfare may be increased if no trade occurs when order imbalance is sufficiently high. Allowing for flexibility in **prices** need not increase trader welfare: equilibria with trade need not exist if the information effects on trade from **price changes** exceed the direct effects.

The third and last chapter employs an atheoretical model of market data in assessing the depth/liquidity of the downstairs market...

22/3,K/3 (Item 3 from file: 35)

DIALOG(R)File 35: Dissertation Abs Online

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01788447 ORDER NO: AADAA-I9999221

An evaluation of auction and fixed-price electronic markets

Author: Oh, Wonseok

Degree: Ph.D.

Year: 2000

Corporate Source/Institution: New York University, Graduate School of Business Administration (0868)

Source: Volume 6112A of Dissertations Abstracts International.

PAGE 4854 . 216 PAGES

ISBN: 0-493-07235-7

...markets. By and large, this thesis consists of two related parts. In the first half, by comparing auction prices with fixed-prices for the same commodities sold in both **markets**, I evaluate the economic value of the online auction market. In addition, I investigate the extent to which online auction users experience the "winner... ...compare auction outcomes with fixed-prices in electronic markets, such literature focuses only one type of auction markets while ignoring more complicated characteristics of online **auction markets**.

In the second half, I focus on the electronic fixed-price market, verifying a number of economic premises that were rigorously shown in theory, but untested empirically. The.... observe whether or not the electronic fixed-priced market is moving to eventually confirm the ideal Walrasian perfectly-competitive markets as time progresses. Finally, the **timing of price adjustment** by various vendors is considered to account for the persistent

variability in prices.

22/3,K/4 (Item 4 from file: 35)
DIALOG(R)File 35: Dissertation Abs Online
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01322347 ORDER NO: AAD93-33346
MARKET LIQUIDITY UNDER DISCRETE PRICES

Author: ANSHUMAN, V. RAVI

Degree: PH.D.

Year: 1993

Corporate Source/Institution: THE UNIVERSITY OF UTAH (0240)

Source: Volume 5407A of Dissertations Abstracts International.

PAGE 2636 . 161 PAGES

This dissertation suggests two rational motivations for a self-imposed restriction on admissible prices of **securities** traded on organized **exchanges**. First, discrete prices enable an otherwise competitive market maker to capture economic rents. Thus, discreteness of prices can serve as an enforcer of cartel agreements, thereby, benefitting members of the **exchange**. **Second**, and more subtly, discreteness can create market liquidity. In a multiperiod model, discreteness leads to an endogenous temporal aggregation of liquidity traders who have flexibility ... the stock price) by splitting or reverse splitting its stock. The prediction of the model is consistent with the empirical evidence--splits should follow a **period** of stock **price increase** and have a positive announcement effect.

Discrete prices can enhance liquidity even in a single period economy (no discretionary trading). These prices can discourage information...

22/3,K/5 (Item 5 from file: 35)
DIALOG(R)File 35: Dissertation Abs Online
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01310514 ORDER NO: AAD93-29112
FOUR ESSAYS ON AUCTION THEORY (BIDDING)

Author: MENEZES, FLAVIO MARQUES

Degree: PH.D.

Year: 1993

Corporate Source/Institution: UNIVERSITY OF ILLINOIS AT URBANA-CHAMPAIGN (0090)

Source: Volume 5405A of Dissertations Abstracts International.

PAGE 1905 . 164 PAGES

...participate in the auction of a certain number of divisible objects. The auctioneer starts the process by announcing an initial price and by asking both **bidders** to submit sealed-bids (desired amounts). The **auctioneer** keeps **increasing** the **price** until the total amount of bids is less than the total supply. This mechanism has been used to **sell** stocks of government owned companies under the Brazilian Privatization Program. We compute the outcome of this auction game under full information and conclude that this mechanism....and there are also equilibria where an agreement is reached at the last round.

We investigate in the fourth and last essay the outcome of **second**-price sequential **auctions** where players face delay costs if they decide to stay for subsequent rounds. First, we consider the case where agents have to decide to

stay.... round before seeing their valuations for the good. For an arbitrary number of stochastically equivalent objects, we specify the conditions under which ex-ante expected **prices** are monotonically **decreasing**. Second, we study an alternative model where agents decide whether to stay for the subsequent round after seeing their valuations for the good. For a... ...level such that only those bidders with values bigger than that amount decide to stay for the last period. We also provide an example where **prices** are **decreasing**.

22/3.K/6 (Item 6 from file: 35)

DIALOG(R)File 35: Dissertation Abs Online

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01305490 ORDER NO: AAD93-22603

TREASURY BILL AUCTIONS: THEORY AND EVIDENCE (INTEREST RATES)

Author: KIESTER, ELIZABETH STUART MACNAIR

Degree: PH.D.

Year: 1993

Corporate Source/Institution: UNIVERSITY OF HOUSTON (0087)

Source: Volume 5404A of Dissertations Abstracts International.

PAGE 1487 . 103 PAGES

...of federal deficits and the public debt. Treasury auctions are the primary public debt financing tool. Treasury bill auctions hold the largest share of annual **auction** sales. The **secondary market** for Treasury **securities** is concentrated in the hands of the 38 primary dealers, who buy 70% of each bill **auction** for resale in the **secondary market**. Therefore, behavior of **bidders** in the auctions is one of the focal questions of this research.

Chapter two of the dissertation discusses the primary and **secondary markets** for Treasury **securities** in general with an application to the 91-day bill and provides information about the current auction format debate. Chapter three tests the stationarity of auction data as an application for the efficient markets hypothesis and as an analytical tool. Other authors have found unit roots in **secondary market** prices, and this is confirmed here for auction prices.

Chapter four examines the dynamic behavior of auction prices. Strong evidence for nonlinear behavior in the rates of **change** of auction **prices** is found. Statistical tests point toward a nonlinear stochastic system like a GARCH characterization. After including the GARCH model the degree of nonlinearity diminishes, but...

...Chapter five asks the question of whether auction interest rates respond to change in the level of competition as theory suggests. Auction theory maintains, when **bidders** behave noncooperatively the variance in **bids** is an increasing function and the lowest accepted discount rate is a decreasing function of the number of bidders. The evidence presented here suggests these...

22/3.K/7 (Item 7 from file: 35)

DIALOG(R)File 35: Dissertation Abs Online

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01144975 ORDER NO: AAD91-05087

INFORMATION IN THE CASH MARKET AND STOCK INDEX FUTURES MARKET

Author: CHAN, KALOK

Degree: PH.D.

Year: 1990

Corporate Source/Institution: THE OHIO STATE UNIVERSITY (0168)

Source: Volume 5110A of Dissertations Abstracts International.

INFORMATION IN THE CASH MARKET AND STOCK INDEX FUTURES MARKET

The first part of the dissertation demonstrates how different market structures in the cash and futures market can affect the behavior of futures and cash index prices. Because of the different settings, while market makers in the cash market trade individual stocks, those in the futures market trade futures contracts (baskets of stocks). The model extends the rational expectations framework in Kyle (1985) and Admati and Pfeifer (1988) to the stock and futures market. It is shown that futures prices are more volatile and less efficient in reflecting information than cash index prices. The model implies that the variance of future price changes is larger than that of cash index price changes. Even though price changes of individual stocks and futures are serially uncorrelated, cash index price changes are positively autocorrelated. It is also demonstrated that there is a larger incentive to collect market wide information, but a lower incentive to collect firm specific information in the futures market than in the cash market.

The second part of the dissertation examines the lead-lag relationship between the cash and futures prices of the Major Market Index (MMI) by employing transaction price data of the futures and component stocks. The results show that while past futures price changes predict cash index price changes, past cash index price changes also predict futures prices. The lead-lag pattern cannot be explained completely by nonsynchronous trading. First, the feedback from the futures market to the cash market seems to be larger than the reverse, and the relation also holds between futures prices and the most heavily traded stocks. Second, for those stocks which trade in almost every five-minute interval, their price changes can still be led by the futures for more than two intervals (ten minutes). The evidence indicates that when there are more stocks moving together (market wide information), futures prices lead cash index prices more, while the feedback from the cash market into the futures market remains the same. This suggests that the futures market is able to update market wide information faster than the cash market.

22/3,K/8 (Item 8 from file: 35)
DIALOG(R)File 35: Dissertation Abs Online
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820305 ORDER NO: AAD83-20487
AN ANALYSIS OF MAXIMUM BID PRICES FOR LAND WITH IMPLICATIONS FOR PROPERTY TAX, HOUSING DENSITY, ZONING AND INTEREST RATES POLICIES

Author: KASPER, VICTOR, JR.

Degree: PH.D.

Year: 1983

Corporate Source/Institution: RUTGERS UNIVERSITY THE STATE U. OF NEW JERSEY (NEW BRUNSWICK) (0190)

Source: Volume 4405A of *Dissertations Abstracts International*.

PAGE 1522 . 262 PAGES

...next two parts, the above assumption is replaced by the assumption that the ability to pay of the three market groups are related by equilibrium **market** price. The **second** part examines the relationship among equilibrium price, ability to pay and selected factors affecting the housing developer and the land conversion period. Values of model.... capital gains appear more important to the farm operator than to the short-term speculator. The importance of refinancing depends upon the expected rate of **change** in **land prices**. The farm operator's bid price was more sensitive to most factors considered than that of the short-term speculator. The tax rate on capital gains had little effect on the bid price of any of the market groups. Housing density had only a minor impact on **prices**

because changes in the developer's maximum bid price were offset by changes in the land conversion period.

22/3,K/9 (Item 9 from file: 35)
DIALOG(R)File 35: Dissertation Abs Online
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747953 ORDER NO: AAD81-10074
THE EFFICIENCY OF FUTURES MARKETS IN FOREIGN EXCHANGE

Author: GLASSMAN, DEBRA ANN

Degree: PH.D.

Year: 1980

Corporate Source/Institution: THE UNIVERSITY OF WISCONSIN - MADISON (0262)

Source: Volume 4201A of *Dissertations Abstracts International*.

PAGE 309 . 272 PAGES

THE EFFICIENCY OF FUTURES MARKETS IN FOREIGN EXCHANGE

This dissertation develops empirical tests of the market efficiency hypothesis and applies them to four futures markets for foreign exchange (British pound, Canadian dollar, German mark, Swiss franc) over the period June 1972 to June 1978. Currency futures prices are based on expectations of exchange...
...market efficiency states that prices fully incorporate all the information available to traders in a market. The study addresses three questions. First, are individual currency futures markets efficient with respect to information one day old, and, if not, how long does it take for information to be fully reflected in prices? Second , how does market volatility affect efficiency tests and their results? Third, is the group of futures markets jointly efficient?

A statistical implication of the market efficiency hypothesis is that the forecast error (the change in the futures price over a given time interval) is uncorrelated with the information on which the forecast (futures price) is based. We test whether single currency futures markets are efficient by formulating regression tests of this statistical implication and applying them to each of the four markets. The null hypothesis of single market...

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22/3,K/10 (Item 1 from file: 2)
DIALOG(R)File 2: INSPEC
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07171014

Title: Economic benefits of renting software

Author(s): Choudhary, V.¹; Tomak, K.¹; Chaturvedi, A.¹

Affiliation(s):

¹ Graduate Sch. of Manage., Purdue Univ., West Lafayette, IN, USA

Journal: Journal of Organizational Computing and Electronic Commerce , vol.8 , no.4 , pp.277-305

Publisher: Lawrence Erlbaum Associates

Country of Publication: USA

Publication Date: 1998
ISSN: 1054-1721
ISSN Type: print
SICI: 1054-1721(1998)8:4L:277:EBRS;1-K
CODEN: JOCEFM
Language: English
Subfile(s): C (Computing & Control Engineering)
INSPEC Update Issue: 1999-008

Copyright: 1999, IEE

Abstract: ...the network effect becomes stronger, the firm chooses to reduce its prices in the first period to expand the size of its network and later **increases prices** in the second **period**. Because many of the customers who choose to rent in the first period subsequently make a purchase in the second period, the firm is able to capture the benefits of network externalities in the first **period** without reducing **sales** in the second **period**. For high levels of network intensity, consumer surplus and social welfare are also higher.

Dialog eLink: [USPTO Full Text Retrieval Options](#)

22/3,K/11 (Item 2 from file: 2)
DIALOG(R)File 2: INSPEC
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04427989

Title: Perishable inventory models where deterioration begins at a random point in time
Author(s): Banerjee, P.K.¹; Kabadi, S.N.; Rahim, M.A.

Affiliation(s):

¹ Dept. of Math. & Stat., New Brunswick Univ., Fredericton, NB, Canada
Book Title: Proceedings of International Conference on Systems Science and Engineering (ICSSE'88)

Inclusive Page Numbers: 204-6

Publisher: Int. Acad. Publishers, Beijing

Country of Publication: China

Publication Date: 1988

Conference Title: International Conference on Systems Science and Engineering (ICSSE'88)

Conference Date: 25-28 July 1988

Conference Location: Beijing, China

Conference Sponsor: Syst. Eng. Soc.of China Int. Inst. Appl. Syst. Analysis

Editor(s): Cheng Weimin

Number of Pages: xvi+922

Language: English

Subfile(s): C (Computing & Control Engineering); E (Mechanical & Production Engineering)

INSPEC Update Issue: 1989-017

Copyright: 1989, IEE

Abstract: ...pricing policies are determined for two such inventory models. The first model assumes that the selling price changes only once after the deterioration starts. The second model assumes that the **selling price changes** at regular **intervals** after the deterioration starts.

B. NPL Files, Full-text

File 15:ABI/Inform(R) 1971-2009/Sep 07
(c) 2009 ProQuest Info&Learning
File 9:Business & Industry(R) Jul/1994-2009/Sep 05
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File 610:Business Wire 1999-2009/Sep 08
(c) 2009 Business Wire.
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(c) 1999 Business Wire
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(c) 2009 McGraw-Hill Co. Inc
File 621:Gale Group New Prod.Annou. (R) 1985-2009/Jul 30
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File 636:Gale Group Newsletter DB(TM) 1987-2009/Aug 13
(c) 2009 Gale/Cengage
File 613:PR Newswire 1999-2009/Sep 08
(c) 2009 PR Newswire Association Inc
File 813:PR Newswire 1987-1999/Apr 30
(c) 1999 PR Newswire Association Inc
File 16:Gale Group PRON'T(R) 1990-2009/Aug 13
(c) 2009 Gale/Cengage
File 160:Gale Group PRON'T(R) 1972-1989
(c) 1999 The Gale Group
File 634:San Jose Mercury Jun 1985-2009/Sep 01
(c) 2009 San Jose Mercury News
File 148:Gale Group Trade & Industry DB 1976-2009/Aug 20
(c) 2009 Gale/Cengage
File 20:Dialog Global Reporter 1997-2009/Sep 08
(c) 2009 Dialog
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(c) 2008 American Banker
File 268:Banking Info Source 1981-2011/Feb 01
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File 626:Bond Buyer Full Text 1981-2008/Jul 07
(c) 2008 Bond Buyer
File 267:Finance & Banking Newsletters 2008/Sep 29
(c) 2008 Dialog

Set	Items	Description
S1	3344877	(PRICE OR PRICES OR PRICING) (3N) (IMPROVE? ? OR IMPROVEMENT? ? OR IMPROVING OR ADJUST? ? OR CHANGE? ? OR CHANGING OR MODIF? OR MANIPULAT? OR INCREAS? OR DECREAS? OR TRANSITION? OR VARIATION? ?)
S2	44682	(PERIOD? ? OR DURATION? ? OR INTERVAL? ? OR TIMESLOT? ? OR TIME() SLOT? ? OR SPAN OR TABLE) OR TIMETABLE? ? OR TIMING OR TIMER) (3N) \$1
S3	1576386	(SECOND? ? OR SUPPLEMENT? ? OR SUBSEQUENT? ? OR EXTRA OR FOLLOWUP OR FOLLOW()UP OR SEQUEL) (4N) (AUCTION? ? OR SALE OR SALES OR MARKET? ? OR SELLING OR EXCHANGE? ? OR TRANSACTION? ?)
S4	24688	(PERIOD? ? OR DURATION? ? OR INTERVAL? ? OR WINDOW? ? OR TIMESLOT? ? OR TIME() SLOT? ? OR SPAN OR TABLE) OR TIMETABLE? ? OR TIMING OR TIMER OR HOW()LONG) (4N) \$3
S5	338347	(PARTICIPANT? ? OR (MARKET OR PRICE OR BOOK) () (MAKER? ? OR SPECIALIST? ? OR SETTER? ?) OR AUCTIONEER? ? OR BOOKMAKER? ? - OR AGENT? ? OR BIDDER? ?) (5N) (BID OR BIDS OR BIDDING OR OFFER-?)
S6	33249	(THRESHOLD? ? OR THRESHOLD? ? OR CAP OR CAPS OR CEILING OR

BENCHMARK? ? OR TRIGGER? ? OR REFERENCE()VALUE? ? OR BOUNDAR? OR BOUND? ? OR LIMITATION? ? OR CONSTRAINT? ? OR MAXIMUM? ? - OR MINIMUM? ? OR BASELINE? ?)(5N)S1
 S7 10812550 (SECURITIES OR STOCKS OR (FINANCIAL OR TRADEABLE OR TRADEABLE-
 LE)())(INSTRUMENT? ? OR VEHICLE? ? OR OBJECT? ? OR PRODUCT? ?)
 OR FUTURES OR MUTUAL()FUND? ? OR DERIVATIVE? ? OR COMMODITIES
 OR OPTIONS OR BONDS)(3N)(EXCHANG? OR MARKET? ? OR MARKETPLACE?
 ? OR AUCTION? OR TRADING OR SELLING OR SELL OR SALE OR PURCH-
 AS? OR SALES OR BUYING)
 S8 88 S2 (S) S4
 S9 2 S8 (30N) S5
 S10 0 S8 (30N) S6
 S11 7 S8 (30N) S7
 S12 817 S2 (S) S3
 S13 7 S12 (S) S5
 S14 11 S12 (S) S6
 S15 3 S14 (S) S7
 S16 811 S7 (20N) S1 (20N) S3
 S17 8 S16 (20N) S6
 S18 2 (S9 OR S11 OR S13 OR S15 OR S17) NOT PY>2002
 S19 2 RD (unique items)
 S20 460 S7 (20N) S2
 S21 8 S20 (30N) S3
 S22 2 S20 (20N) S6
 S23 0 S20 (10N) S5
 S24 2 (S21 OR S22) NOT (S19 OR PY>2002)
 S25 2 RD (unique items)
 S26 46 S2 (10N) S4
 S27 9 S26 (S) S7
 S28 0 S27 NOT (S19 OR S25 OR PY>2002)
 S29 34 AU=((PETERFFY, T? OR PETERFFY T? OR PETERFFY(2N)T?) OR (LE-
 IBLER, K? OR LEIBLER K? OR LEIBLER(2N)K?) OR (BERTRAND, L? OR
 BERTRAND L? OR BERTRAND(2N)L?))
 S30 0 S29 AND S2

19/3,K/1 (Item 1 from file: 15)

DIALOG(R)File 15: ABI/Inform(R)

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00662585 93-11806

Modeling the profitability of customer relationships: Development and impact of Barclays de Zoete Wedd's BEATRICE

Stuchfield, Nicolas; Weber, Bruce W

Journal of Management Information Systems: JMIS v9n2 pp: 53-76

Fall 1992

ISSN: 0742-1222 Journal Code: JMI

Word Count: 9531

Text:

...was 0.20 percent, meaning that a £50,000 trade would generate a £100 commission for the securities firm. In addition, securities houses act as **market makers**, **offering** to trade with, rather than just trading for, their customers. This leads to two ways of earning trading revenue. The first comes from the **market maker** quoting a **bid** price at which he is willing to buy and quoting a somewhat higher ask price at which he will sell stock. The **market maker** derives his return, or "**bid-ask**" trading revenue from buying at the lower bid price and selling soon after at the higher ask

price. The second source is more risky speculation or positioning revenues (or losses) that result from a trader taking a long or short position to gain from **changes** in the **price** over a greater **period** of time. Trading income in either form varies up or downwards according to the price movements after a trade, but because of the uncertainty about...

...s resulting position is unwound at a later stage [4!. To measure trading gains accurately, BEATRICE calculates the profit from a trade sometime after the **transaction** in light of **subsequent** trades and price changes.

3.4.2. COSTS

Expenses are difficult to identify with particular activities and particular customers in the securities industry. Firms are...

19/3,K/2 (Item 1 from file: 9)

DIALOG(R)File 9: Business & Industry(R)

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02373770 Supplier Number: 24738517 (USE FORMAT 7 OR 9 FOR FULLTEXT)

No Fear: Part 2

(Juniper Networks does not consider itself main threat to Cisco because latter offers networking systems for almost everyone, while Juniper makes handful of ultra-fast router types; Juniper had sales of \$673.5 mil in 2000)

Electronic Business , v 27 , n 2 , p 54+

February 2001

Document Type: Journal; **Cover Story** **ISSN:** 1097-4881 (United States)

Language: English **Record Type:** Fulltext

Word Count: 2237 (USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:

...since then. At the peak of nearly \$250 last October, the price of a Juniper share was up more than 40-fold from its split-adjusted IPO price of \$5.66 and the company's market capitalization was more than \$70 billion. Even after the market's subsequent sell-off of technology stocks, Juniper's shares in January were still up close to 25-fold at \$136 from their split-adjusted IPO price and its market cap was more than \$40 billion.

photo omitted

Although Juniper has been rumored to be a takeover candidate on several occasions, its hefty valuation has no...

25/3,K/1 (Item 1 from file: 148)

DIALOG(R)File 148: Gale Group Trade & Industry DB

(c) 2011 Gale/Cengage. All rights reserved.

02181534 Supplier Number: 03574030 (USE FORMAT 7 OR 9 FOR FULL TEXT)

Vancouver Stock Exchange announces new minimum strike price spread for silver options.

PR Newswire , LA4

Dec 27, 1984

Language: ENGLISH

Record Type: FULLTEXT

Word Count: 152 **Line Count:** 00014

...Options between \$5-\$15 \$0.50
Options more than \$15 \$1
Previous intervals for silver options were all \$1.
The changes are concurrent with recent **changes** in
minimum strike price intervals announced by the
exchange for IOCC gold **options** from \$25 to \$20.

The VSE trades silver options in a link with the European Options
Exchange in Amsterdam, the Netherlands, as a partner in...

25/3,K/2 (Item 1 from file: 20)

DIALOG(R)File 20: Dialog Global Reporter

(c) 2011 Dialog. All rights reserved.

07287707 (USE FORMAT 7 OR 9 FOR FULLTEXT)

OTC Exchange floats subsidiary to access NSE

Our Mumbai Bureau

ECONOMIC TIMES OF INDIA

September 18, 1999

Journal Code: WETI **Language:** English **Record Type:** FULLTEXT

Word Count: 461

(USE FORMAT 7 OR 9 FOR FULLTEXT)

...between the buy and the sell quotes would be Re 1.
* Market makers in the new system would be allowed to shortsell.
* Quotes to follow **Securities & Exchange** Board of
India (Sebi) guidelines on price bandwidth.
* The 'tick size **change** or the **minimum price**
interval would be five paise.
* The order execution priority in the new system would be
PMM/AMM/other MM/order book.
* Lower transaction costs on trades...

IV. Additional Resources Searched

Financial Times via ProQuest

No documents found for: *(price w/3 improv* w/3 (period? or interval? or timer or timing) w/20 (second* w/3 (auction or sale))) AND PMID(32326) AND PDN(<10/30/2002)*

Internet and Personal Computing Abstracts via EBSCOhost

Searching: Internet and Personal Computing Abstracts | Choose Databases »

price n3 improv* n3 period 

[Basic Search](#) | [Advanced Search](#) | [Visual Search](#) | [\\$ Search History](#)

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Note: Your initial search query did not yield any results.